



Waganakising Odawak

Little Traverse Bay Bands of Odawa Indians

Office of the Tribal Chairman

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GAMING REGULATORY COMMISSION REGULATIONS REG WOS 2005-06 091609-008

L. Facility license requirements.

1. License fees. The Tribal Government may require and set a facility licensing fee to cover or help offset the actual expenses incurred by the Gaming Regulatory Commission in carrying out its licensing and compliance functions.

2. Operating plan.

a. Every facility licensee shall at all times maintain on file with the Gaming Regulatory Commission a current operating plan, verified by the affidavit of the operation's general manager, including, but not limited to: days and hours of operation; the maximum number and type of gaming tables or devices expected to be uncovered or in use at any time during the year; the number of gaming tables or devices expected to be in actual use during the first month of the report year. The approved operating budget shall be submitted to the Gaming Regulatory Commission within one week of its approval by the operation's manager but not later than two weeks prior to the beginning of the operation's new fiscal year.

b. Any significant changes (up or down) to the operating plan shall be reported to the Gaming Regulatory Commission in writing no more than two weeks following the end of the month in which the change occurred. Significant changes include, but are not limited to: a change of 15% or more in the number of gaming tables or devices uncovered or in use; a change of 15% or more in the net profit forecast for the balance of the current year; or a change in the operation's fiscal year or accounting policies.

3. Key employee report.

a. Each facility licensee shall submit an annual key employee report to the Gaming Regulatory Commission on a form to be furnished by the Gaming Regulatory Commission.

b. The annual key employee report shall identify every primary management official and key employee of the operation and their annual

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wage or salary compensation. The report shall also include an organization chart for the operation and a description of each primary management official's and key employee's duties and responsibilities, and the authority delegated to each individual identified in the report.

c. Any changes, additions, or deletions to any information contained within the annual key employee report which occurs subsequent to the filing of the report and prior to the filing of the next year's report shall be reported to the Gaming Regulatory Commission in writing no more than two weeks following the month during which the change, addition, or deletion occurred.

4. Financial Reports. A copy of the final annual audit report shall be submitted to the Gaming Regulatory Commission by the Gaming Enterprise within three (3) days of when the annual audit report is received by the Gaming Enterprise. This report is required to be received no later than one-hundred-twenty (120) days from the end of the fiscal year from the person responsible for preparing such report under the Tribe's law, regulations, and contracts.

5. Environmental, Public Health, and Safety (EPHS) Certification

a. The Gaming Regulatory Commission shall receive a document listing all laws, resolutions, codes, policies, standards, and procedures identified as applicable to the gaming facility in :

- Emergency Preparedness
- Food and Potable Water
- Construction and Maintenance
- Hazardous Materials
- Sanitation
- Any other applicable areas related to environmental or public health and safety standards adopted by the Tribe.

b. The Gaming Regulatory Commission is required to receive Annual Certification that the gaming facility complies with and enforces the identified laws, resolutions, codes, policies, standards, and procedures.

6. Purpose. The Gaming Regulatory Commission is required to receive the reports and information specified in subsections 1., 2., 3., 4., and 5., solely to ensure that the gaming operation is in compliance with Environmental, Public Health, and Safety standards established by the Tribal Government, free of corruption and to aid in planning staffing and budgeting for Regulatory Departments. The Gaming Regulatory Commission is not responsible for, and shall not interfere with, any business decisions of the Gaming Enterprise.

CERTIFICATION

As Chairperson, I certify that I approve of this amendment, Section L(4), Financial Reports to the Gaming Regulatory Commission Regulations.

Date: _____

Ken Harrington, Tribal Chairperson

Received by the Tribal Council Office on: _____ by: _____

As the Legislative Leader and Tribal Council Secretary, we certify that these Amendments to the Gaming Regulatory Commission Regulations were approved by the Tribal Council of the Little Traverse Bay Bands of Odawa Indians at a regular meeting of the Tribal Council held on _____ at which a quorum was present, by a vote of ____ in favor, ____ opposed, ____ abstentions, and ____ absent.

Date: _____

Julie Shananaquet, Legislative Leader

Date: _____

Regina Gasco Bentley, Secretary